

FORM PTO-1390
(REV. 01-2003)

US DEPARTMENT OF COMMERCE PATENT & TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER
127642**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**U.S. APPLICATION NO. (If known, see 37 CFR 1.5)
New U.S. National Stage of PCT/JP2005/003983**10/574893**INTERNATIONAL APPLICATION NO.
PCT/JP2005/003983INTERNATIONAL FILING DATE
March 8, 2005PRIORITY DATE CLAIMED
March 31, 2004TITLE OF INVENTION
SEMICONDUCTOR DEVICE MANUFACTURING METHODAPPLICANTS FOR DO/EO/US
Kanako KITAYAMA; Sadayoshi HORII

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
 - c. ☐ The International Application was filed in English.
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☒ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Submission of Amendments Under PCT Article 6; International Search Report (attached to the IDS)

10/574893

IAP9 Rec'd PCT/PTO 06 APR 2006

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5)
New U.S. National Stage of
PCT/JP2005/003983INTERNATIONAL APPLICATION NO.
PCT/JP2005/003983ATTORNEY'S DOCKET NUMBER
12764221. ☒ The following fees are submitted:

CALCULATIONS PTO USE ONLY

BASIC NATIONAL FEE (37 CFR 1.492(a)): \$ 300.00

\$300.00

SEARCH FEE (37 CFR 1.492(b)(1)-(3)):

\$400.00

International preliminary examination report or written opinion prepared by
the USPTO as IPEA or ISA and favorable as to novelty, inventive step, and
industrial applicability for all claims presented in the application entering the
national stage \$ 0.00

International search fee (37 CFR 1.445(a)(2)) paid to USPTO as ISA \$ 100.00

International search report provided to USPTO no later than the time at which
the search fee is paid \$ 400.00

All situations not provided for above \$ 500.00

EXAMINATION FEE (37 CFR 1.492(c)(1)-(2)):

\$200.00

International preliminary examination report or written opinion prepared by
the USPTO as IPEA or ISA and favorable as to novelty, inventive step, and
industrial applicability for all claims presented in the application entering the
national stage \$ 0.00

All situations not provided for above \$ 200.00

Surcharge of \$130.00 for furnishing the search fee, the examination fee or the oath or
declaration after the date of commencement of the national stage (37 CFR 1.492(h)).

\$

TOTAL PAGES OF
APPLICATION OVER
100 (- 100)

÷ 50

= †

x 250 =

\$

†round up to next integer

CLAIMS NUMBER FILED NUMBER EXTRA RATE \$

TOTAL CLAIMS 16 - 20 = 0 x 50.00 = \$

INDEPENDENT CLAIMS 4 - 3 = 1 x 200.00 = \$200.00

MULTIPLE DEPENDENT CLAIM(S)(if applicable) + 360.00 = \$

TOTAL OF ABOVE CALCULATIONS =

\$1100.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are
reduced by 1/2.

\$

SUBTOTAL =

\$1100.00

Processing fee of \$130.00 for furnishing the English translation later than 30 months from
the earliest claimed priority date (37 CFR 1.492(i)).

\$

TOTAL NATIONAL FEE =

\$1100.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$

TOTAL FEES ENCLOSED =

\$1100.00

Amount to be

refunded: \$

charged: \$

- a. ☒ Check No. 178575 in the amount of \$1100 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 15-0461. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

OLIFF & BERRIDGE, PLC

Customer Number: 25944

Date April 6, 2006

NAME: James A. Oliff

REGISTRATION NUMBER: 27,075

NAME: Joel S. Armstrong

REGISTRATION NUMBER: 36,430

10/574893

IAP9 Rec'd PCT/PTO 3 6 APR 2006

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5) New U.S. National Stage of PCT/JP2005/003983		INTERNATIONAL APPLICATION NO. PCT/JP2005/003983		ATTORNEY'S DOCKET NUMBER 127642	
21. <input checked="" type="checkbox"/> The following fees are submitted:				CALCULATIONS	PTO USE ONLY
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SEARCH FEE (37 CFR 1.492(b)(1)-(3)):				\$400.00	
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International search fee (37 CFR 1.445(a)(2)) paid to USPTO as ISA \$ 100.00					
International search report provided to USPTO no later than the time at which the search fee is paid \$ 400.00					
All situations not provided for above \$ 500.00					
EXAMINATION FEE (37 CFR 1.492(c)(1)-(2)):				\$200.00	
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All situations not provided for above \$ 200.00					
Surcharge of \$130.00 for furnishing the search fee, the examination fee or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).				\$	
TOTAL PAGES OF APPLICATION OVER 100 (- 100)	÷ 50	= †	x 250 =	\$	
†round up to next integer					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
TOTAL CLAIMS	16 - 20	= 0	x 50.00 =	\$	
INDEPENDENT CLAIMS	4 - 3	= 1	x 200.00 =	\$200.00	
MULTIPLE DEPENDENT CLAIM(S)(if applicable)			+ 360.00 =	\$	
TOTAL OF ABOVE CALCULATIONS =				\$1100.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
SUBTOTAL =				\$1100.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				\$	
TOTAL NATIONAL FEE =				\$1100.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$	
TOTAL FEES ENCLOSED =				\$1100.00	
				Amount to be refunded:	\$
				charged:	\$
a. <input checked="" type="checkbox"/> Check No. 178575 in the amount of \$1100 to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>15-0461</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO: OLIFF & BERRIDGE, PLC Customer Number: 25944					
Date <u>April 6, 2006</u>			NAME: <u>James A. Oliff</u> REGISTRATION NUMBER: <u>27,075</u> NAME: <u>Joel S. Armstrong</u> REGISTRATION NUMBER: <u>36,430</u>		